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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/807,647

Filed: 6/29/2001

1<sup>st</sup> Inventor: OI, Satoru

For: 1,5-Benzodiazepine Compounds, Their Production and Use

Atty. Dkt. No. 2560 USOP

Art Unit: tba

Examiner: tba

Allowed:

Batch:

Paper No.:

CERTIFICATE OF EXPRESS MAILING UNDER 37 CFR 1.10

USPS EXPRESS MAIL LABEL. No. EV 082656127 US

DATE IN: September 27, 2002

**Itemized Papers/Items:**


1. This Postcard and Certificate of Express Mailing (2 pages)
2. Transmittal Form (1 page X 2)
3. Response to Notice of Defective Response (1 page), Submission of CRF of Sequence Listing (3pages), IBM PC/AT format disk containing the CRF of the Sequence Listing, and copy of Notification of Missing Requirements (6 pages).

The undersigned hereby certifies that the above itemized papers are together being deposited with the Express Mail Post Office to Addressee service of the United States Postal Service (USPS) in an envelope with sufficient postage, having the USPS Express Mail Label No. shown above, and addressed to:

Commissioner for Patents  
Washington, D.C. 20231.

on this date, 9/27/02

Dated: 9/27/02

  
Gail L. Winokur

Takeda Pharmaceuticals North America, Inc.  
Intellectual Property Department  
Suite 500, 475 Half Day Road  
Lincolnshire, IL 60069 USA

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# TRANSMITTAL FORM

to be used for all correspondence after initial filing)

<b>Application Number</b> 09/807,647	<b>Filing Date</b> 6/29/2001
	<b>First Named Inventor</b> Satoru Oi
	<b>Group Art Unit</b> tba
	<b>Examiner Name</b> tba
	<b>Attorney Docket Number</b> 2560 USOP
<b>Total Number of Pages in This Submission</b> 14	

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard. Certificate of Express Mailing: Submission of CRF of Sequence Listing IBM PC/AT Format Disk Copy of Notice of Missing Parts
<b>Remarks</b> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account 500799.		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Mark Chao, Ph.D., JD, Reg. No. 37,293
Signature	
Date	9/27/02

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class <b>EXPRESS</b> mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 9/27/02	
Typed or printed name	Gail L. Winokur
Signature	
Date	9/27/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Express Mail EV 0826 56 127 US

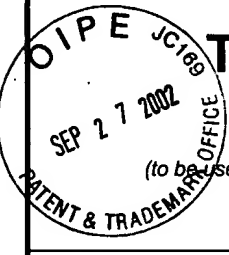
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

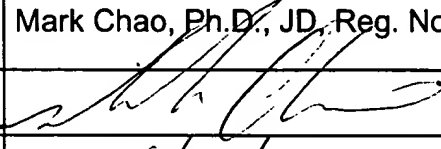
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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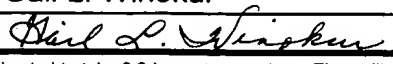
 <b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/807,647	
	Filing Date	6/29/2001	
	First Named Inventor	Satoru Oi	
	Group Art Unit	tba	
	Examiner Name	tba	
Total Number of Pages in This Submission	14	Attorney Docket Number	2560 USOP

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Return Postcard.
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	Certificate of Express Mailing;
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	Submission of CRF of Sequence Listing
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	IBM PC/AT Format Disk
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account 500799.	

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Mark Chao, Ph.D., JD, Reg. No. 37,293
Signature	
Date	9/27/02

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class <b>EXPRESS</b> mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 9/27/02	
Typed or printed name	Gail L. Winokur
Signature	
Date	9/27/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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1<sup>st</sup> Inventor: OI, SatoruFor: 1,5-Benzodiazepine Compounds, Their  
Production and Use

Atty. Dkt. No. 2560 USOP

Art Unit: tba

Examiner: tba

Allowed:

Batch:

Paper No.:

Sequence Listing Requirements

Commissioner for Patents  
Washington, D.C. 20231  
Sir:

In response to the Notice of Defective Response mailed 09/09/2002, Applicants respectfully submit, a substitute written Sequence Listing and a DOS Text CRF Sequence Listing file "2560us0p.seq.txt" on the enclosed 3.5" IBM PC/AT computer disk.

The undersigned hereby certifies that the CRF and the written Sequence Listing are the same in content.

Respectfully submitted,

Dated: September 23, 2002

(847)383-3372

(847)383-3391



Mark Chao, Ph.D., Reg. No. 37,293

Elaine M. Ramesh, Ph.D., Reg. No. 43032

Attorney for Applicants

Customer No. 23115

Takeda Pharmaceuticals North America, Inc.  
Intellectual Property Department  
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Lincolnshire, IL 60069 USA

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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box 88, I  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/807,647	Satoru Oi	2560USOP

23115  
TAKEDA PHARMACEUTICALS NORTH AMERICA, INC  
INTELLECTUAL PROPERTY DEPARTMENT  
475 HALF DAY ROAD  
SUITE 500  
LINCOLNSHIRE, IL 60069

INTERNATIONAL APPLICATION NO.	
PCT/JP99/05754	
I.A. FILING DATE	PRIORITY DATE
10/19/1999	10/20/1998

CONFIRMATION NO. 2246  
371 FORMALITIES LETTER



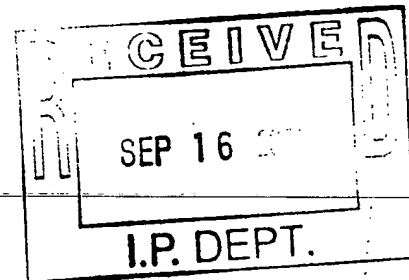
\*OC000000008747807\*

Date Mailed: 09/09/2002

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Priority Document
- Biochemical Sequence Diskette
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration



The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

**Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).**

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
  - A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
  - The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable

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form must be submitted as required by 37 CFR 1.825(d).

■ **APPLICANT MUST PROVIDE:**

- An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

● For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

- A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAYA L LEWIS BALTIMORE

Telephone: (703) 305-3695

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/807,647	PCT/JP99/05754	2560USOP

FORM PCT/DO/EO/916 (371 Formalities Notice)

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